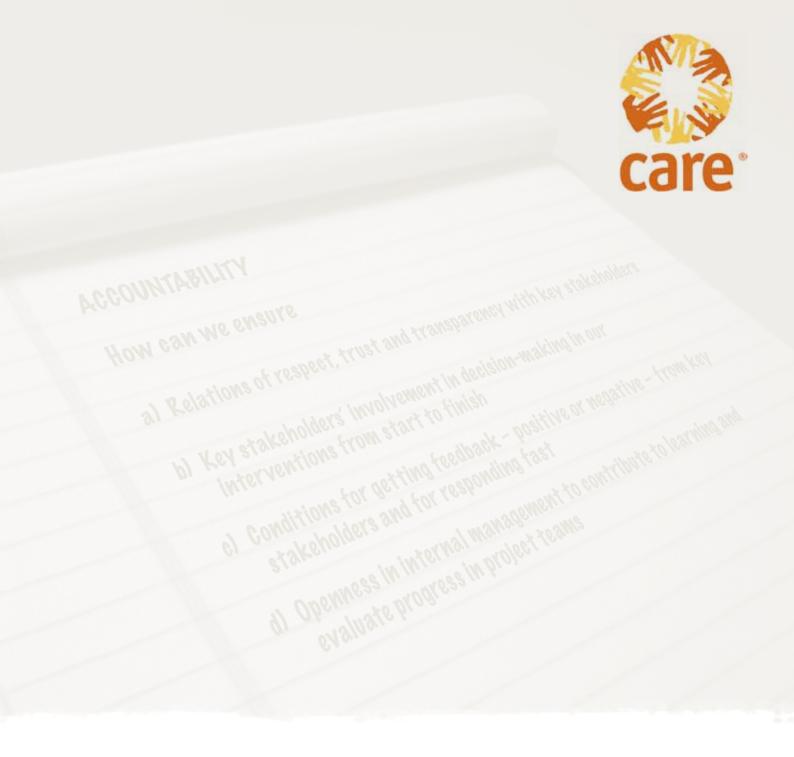


Guide to the organization of systems for NGO accountability to the community

THE EXPERIENCE OF CARE PERU





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LIMA, PERU, 2010

Guide to the organization of systems for NGO accountability to the community

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Introduction

The debate over whether non-governmental organizations (NGOs) should be accountable and transparent, like government, is a question under review and discussion in a variety of spheres. In Peru, the subject is also linked to a dynamic decentralization process and the construction of a democratic society that responds to the need for greater awareness and consolidation of human rights.

The process has entailed significant changes in the structures and levels of: 1) governance, for which authorities have to develop and promote good governance practices; 2) citizen participation, through capacity-building for the public in political advocacy, social watch and demanding rights; and 3) the intervention of private Peruvian and foreign companies, which play a vital role in the country's economic and social development, and have a great responsibility towards it.

This challenge involves a fair redistribution of resources, but also a change in the power relations between the various players, including the population directly affected. It has demanded the mobilization of diverse sectors, from the formalization of the organizational capacity of grass-roots groups, especially of the men and women hardest hit by economic poverty and social exclusion, to the need to break down a culture of secrecy, and to realize that working in a country involves a social responsibility.

On the way, a series of laws have been enacted which govern this democratic process, through which government authorities, regional and local government and the general public must and can make use of a series of procedures geared to achieving good government and strengthening citizenship. While civil society organizations like the NGOs have no formal mandate obliging them to account to the public,

The course of democracy and the use of resources in the name of the people do require a more inclusive, participatory and transparent relationship with the population.

In addition, the role of some NGOs has changed considerably over time, in other words, they have moved from being chiefly charitable to being a bridge for promoting, watching and demanding rights, and often have a great capacity to influence the response of governments, at times of emergency, in the face of corruption and in delivering community services, for example. They have also become a reference for designing public policy development strategies.

CARE Peru is convinced of the need to transform the power relations between NGOs and the population that takes part in their work and has decided to adopt certain in-house measures to promote accountability as a program principle the organization needs to understand, assume and put into practice in its daily work.

In developing this approach, CARE has devised several ways of interacting with the population that participates in our work, mostly using the "face to face" method, owing to the many variables such as closeness, familiarity, time and cultural characteristics. It was only after the 2007 earth-quake however that CARE started to use other resources in its emergency response work. For getting feedback from the population for example, it set up a 0800 toll-free hotline (14417) to receive, ascertain and deal with requests and suggestions fast. Feedback from local people became an important way of strengthening CARE's emergency response.

All the work on accountability developed in the framework of CARE International's humanitarian aid² has been fundamental. That is where the organization recognized the pressing need to adopt simple and practical measures to guarantee long-term accountability, in other words, beyond emergencies themselves.

CARE Peru considers accountability to be a right for the population and an obligation for the organization. It is one of the ways CARE can give an account of its compliance with agreements and commitments made with the people it works with and others. It involves identifying the proper, culturally sensitive resources, in order to:

- Build better relations of respect, trust and transparency with key stakeholders, by circulating information about what CARE does, thereby ensuring a constant dialogue with them.
- Involve key stakeholders in making decisions about our interventions, by defining responsibilities in each intervention from start to finish.

¹ Face to face resources such as focus groups, field visits, personal interviews and other means of evaluation and monitoring.

 $^{^2\,} Human itarian\, Aid\, Accountability\, Framework\, (HAF), draft\, paper, February\, 2010,\, CARE\, International.$

- Create opportunities for getting feedback good or bad from the key stakeholders and to respond to it fast and improve the impact of our intervention.
- Develop internal management styles open to learning and that carry out constant progress evaluation with staff.

These are the premises that guide CARE in building its accountability strategy. This involves working on awareness raising, consultation, training, developing tools, discussing and systematizing learning arising from the collective process. If accountability as a programmatic principle nourishes CARE's mission, then we can say that we are on the right road.

CARE Peru has reaffirmed its commitment to this long-term institutional challenge and offers this methodological guide to all interested parties. It aims to contribute to non-governmental organizations' knowledge, understanding and practice of accountability. NGOs need to build and maintain legitimacy, trust and ethical conduct in all their work, as part of the commitment they make to people.

Eliana Cano Seminario National Accountability Adviser



Objective

• To have practical tools to clarify the question of accountability so that it can be put into practice

Readership

Care Peru staff and other organizations interested in accountability and transparency



What is accountability?

Defining accountability is a complex task, as there is no single criterion or consensus for understanding it. All organizations, whether they are government, private companies or NGOs, understand accountability differently and ascribe different characteristics to it, which can also depend on whether the level to which they are accountable is local, national or international.



There are many reasons why today accountability should be understood from a wider and more real perspective: the prevailing economic model, globalization, decentralization, together with all the ensuing problems of inequality, exclusion and poverty. These factors require a change in the perspectives of the participatory models. This is the setting that shapes accountability.

While accountability is still largely perceived as quantitative, this idea is gradually changing. The difference is fundamental when we begin to implement activities and processes for practicing and complying with it..

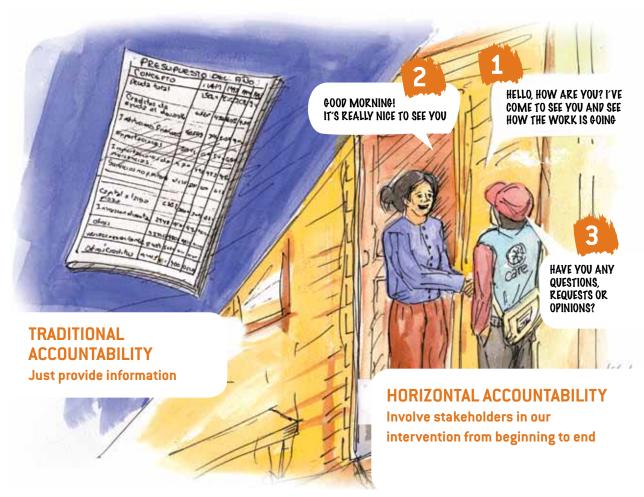
A CHANGE IN THE CONCEPT OF ACCOUNTABILITY

THE TRADITIONAL SENSE OF ACCOUNTABILITY:

Most people think that accountability means to comply with providing information, according to particular formal requirements, about how funds have been spent on the purposes proposed (David Bonbright, 2007).

THE HORIZONTAL SENSE OF ACCOUNTABILITY

This concept has a deeper and more dynamic criterion; it corresponds to the organization's vision and mission and stresses the idea of mutual influence between components.



Core ideas about accountability

- It restores citizens' participation and makes a balance of power possible between people in the community and those working in the projects in their name.
- It is not a goal; it is more of a living process of constant dialogue and improvement to activities and projects.
- It is an exercise to make the daily work and the organizations' values and guiding principles consistent.

THE CONCEPT OF ACCOUNTABILITY FOR CARE PERU

Accountability is the people's right and an organization's obligation. It is one of the means by which we give an account of our compliance with agreements and commitments made with the people whom we work with and other stakeholders.

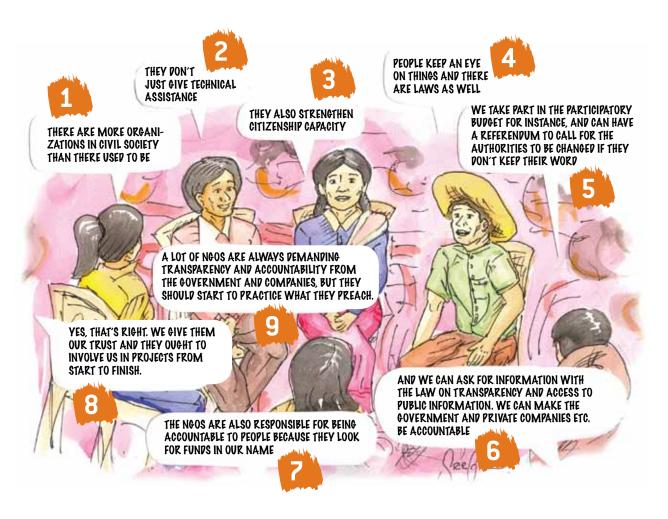
This process means ensuring people's direct and sustained participation, mutual feedback, by promoting more equitable power relations and strengthening the management of the organization.



Progress and pending aspects in accountability

Accountability is already a matter of worldwide debate. In Peru, although there is no legislation obliging civil society organizations to be accountable, the democratic process and the current context demand a more inclusive, participatory and transparent relationship.

A DIALOGUE IN COMMUNITY



Below, we show a few examples of progress and constraints in accountability by government and civil society.

PROGRESS

- There are laws that govern these processes, although they only correspond to government (see Annex 1).
- Some local government authorities and officials are showing an interest in the accountability process and transparency. They see this as a contribution to local governance.
- Civil society is gradually showing interest in giving access to information, social watch and accountability.
- There are some interesting examples of social watch, mainly in the participatory budget.
- Civil society organizations are more thoughtful about avoiding 'charity' and exercising a more democratic and inclusive role, but there is still a long way to go.

PENDING ASPECTS

- A culture of secrecy persists among the authorities as does the belief that they are under no obligation to disclose everything.
- The population still distrusts its authorities, organizations and other enterprises in the community.
- Only local government is made accountable, not other government departments or civil society.
- The methodologies used are not the most appropriate and they do not focus on the process. They only look at numerical results.
- Information is not provided regularly, meetings are called at any time and the information provided for the population is often unclear and incomprehensible.
- Some NGOs believe that they should only be accountable to their donors and not to the community.

Civil society organizations have played a crucial role in promoting transparency and accountability in government and the private sector, with very positive results. One example is at times of emergency, when their capacity to influence government response is clear. Again, in the face of corruption, their role has been crucial for shedding light on the issues and demanding justice.

The experience of the state and civil society organizations with accountability has helped to prevent corruption and to strengthen new ways of redistributing power, but there is still a long way to go.





Accountability in the NGOs, legitimacy and trust

The question of accountability in civil society organizations, as a part of legitimacy, is being discussed by a large number of stakeholders. Governments, the cooperation agencies which support NGO projects, companies, international organizations and the Inter-American System are taking an active part in the debate.

WHY SHOULD NGOS BE ACCOUNTABLE?



In recent years, society as a whole has been increasingly questioning the role of community organizations in mobilizing the population. In view of this, accountability assumes ever greater importance because of the inherent opportunity it brings of establishing trust and restoring legitimacy.

THE COMMUNITY ASKS QUESTIONS TOO

SOME REASONS

- Who audits the auditor?
- Who chose the NGOs? Who do they represent?
- Why do the NGOs think they can criticize and protest?
- Why don't the NGOs do what they so insist on other sectors doing?

- The NGOs mobilize people and resources in the quest for the public good.
- We establish connections with various partners and players who are asking us to be accountable.
- It is not sufficient to tell them that we work for the under-privileged.
- This bias suggests our work is like charity and encourages people to be seen as passive and not entitled to make demands.

Accountability brings with it some advantages for organizations, which include:

- Citizens feel respected. This secures trust in and the credibility of the organization, which in turn leads citizens to feel identified with it and then work together.
- It secures the active participation of the community, and this improves the internal performance of the organization and contributes to its sustainability.
- We all learn from each other and in the development process, the organization matures.

THE BENEFITS OF ACCOUNTABILITY FOR CARE PERU

- It improves our work.
- It brings us greater credibility and trust.
- People consider us more legitimate and our example is a reference for others.
- It prevents and/or reduces various forms of corruption, for example, favoritism, nepotism, the wrong use of resources, fraud or any form of conduct harmful to personal integrity.
- It contributes to organizational learning and maturity.
- It builds the capacity of the population and empowers people.





A methodological proposal for organizing an accountability system

Accountability is central to the preservation of an organization's legitimacy and becomes a means of expression for those who have no opportunity to be heard. Such legitimacy is necessary to influence and command the support of the community effectively.

To design and implement accountability, it is important to think in terms of a dynamic and multifunctional system which corresponds to the organization's vision and mission, considers all key stakeholders including the directly-affected population, the relations between them, their needs and expectations, the creation of strategies, the various kinds of information to be provided etc.

Below we present a methodological sequence which can help order the processes and consolidate actions for the systematic realization of accountability.



Talk about the organization with the team

I. ANALYZE THE VISION AND MISSION

The entire team of the organization should make an analysis of the organization's vision and mission and the values and principles they encompass. This discussion is vital for understanding the accountability process and for not losing sight of your aim on the way..

Key questions:

- What is your organization's mission and vision?
- How are the organization's values and principles related to accountability?
- Why do we want to take concrete action for accountability and transparency?
- How does accountability foster and consolidate the organization's values and principles¹?

 $^{^1}$ An organization's values and/or principles are often not explicit in its plans. In such cases, the team should identify them in the vision.

AN EXAMPLE FROM OUR ORGANIZATION

VISION: CARE'S DREAM

We seek a world of hope, tolerance and social justice, where poverty has been overcome and people live in dignity and security. CARE International will be a global force and a partner of choice within a worldwide movement dedicated to ending poverty. We will be known everywhere for our unshakable commitment to the dignity of people.

MISSION: HOW DO WE MAKE OUR DREAM COME TRUE?

We serve individuals and families in the poorest communities in the world. Drawing strength from our global diversity, resources and experience; we promote innovative solutions; we are advocates for global responsibility and we facilitate lasting change by strengthening capacity for self-help, providing economic opportunity, delivering relief in emergencies through influencing policy decisions at local, regional and national level; addressing discrimination in all its forms.

VALUES: WHAT VALUES GUIDE US?

- Respect
- Integrity
- Commitment
- Excellence

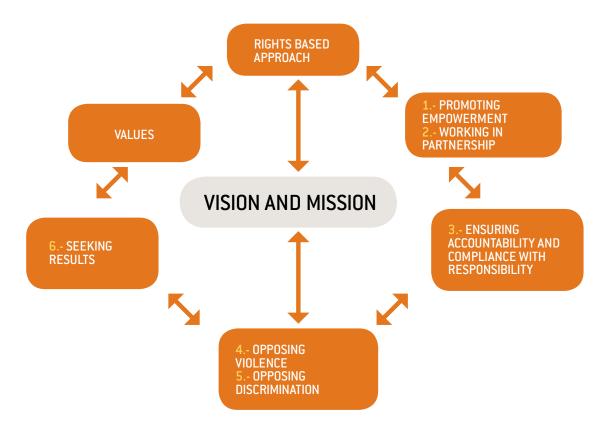
PRINCIPLES: HOW DO WE WORK DAY BY DAY?

- We promote empowerment and the equitable distribution of power
- We work in partnership with others
- We ensure and promote responsibility
- We oppose discrimination
- We oppose violence
- We seek lasting results

FOR CARE PERU, IMPLEMENTING ACCOUNTABILITY MEANS:

- A) It corresponds to our institutional values
 - Respect: all men and women are equally entitled to be informed and consulted.
 - Integrity: acting responsibly and transparently, doing what we say.
 - **Commitment:** taking responsibility for what we say and complying with what we offer.
 - **Excellence:** we measure the work done and we take timely measures for improving the efficiency of our activities.

B) Feeding our mission



All program principles correspond to and feed into the organization's mission. Hence accountability contributes to and is part of comprehensive management.

II. IDENTIFYING ROLES AND FUNCTIONS

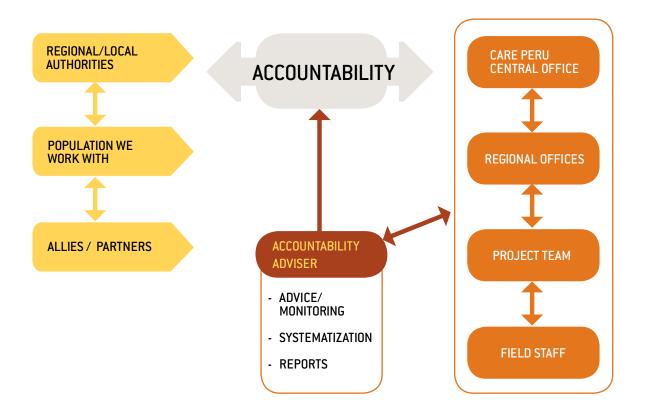
It is important to have a clear idea of who the members of the organization are and how they are organized. This will help to identify roles and establish responsibilities for implementing accountability.

Key questions::

- How many are there?
- How are they organized locally or nationally
- How are they connected?
- What responsibilities does each one have?
- · Who would be the key people responsible for fostering accountability in the teams?



AN EXAMPLE OF INTERNAL TEAM ORGANIZATION TO ADDRESS ACCOUNTABILITY



Explanation of diagram:

It is important to identify where everyone is (teams and job titles), as this clearly shows the circuit and its various levels on which an accountability system will be strengthened, in accordance with the responsibilities of each team or person.

In CARE Peru for example, there are three main levels of coordination: the central office, the regional offices and the project teams. There is a national accountability adviser, whose job it is to foster mechanisms for installing the program principle and developing fluid relations and information, to and fro, for mobilizing an ordered system with evidence.

This would all have to involve better relations with external stakeholders we deal with through our work: regional and local authorities, partners and community participants.



Identifying stakeholders and their relationships

Accountability involves establishing multiple relationships with diverse sectors whose requests have different priorities. This is why it is important to identify these stakeholders, to decide to whom we are more closely related and to whom we should account for our activities.

Key questions

- Which are the organization's main relationships? Those with their partners, key players, donors and other stakeholders?
- Which relationships are a priority and why?
- What kind of information is it important to provide to each one and to the general public?

STAKEHOLDER 5: OTHER NGOS AND MEDIA STAKEHOLDER 4: GOVERNMENT SECTORS STAKEHOLDER 3: PARTNERS WE SHARE RESONSIBILITIES WITH

The NGO team can answer the above questions using this illustration by establishing and naming the various stakeholders, their relations with them and the order of priority (not hierarchy) for accountability.

Organizing the accountability system

Being accountable involves a series of permanent activities within the team and on the part of the participant community. It is perceived as a proactive and reciprocal to-and-fro process, which involves the following:

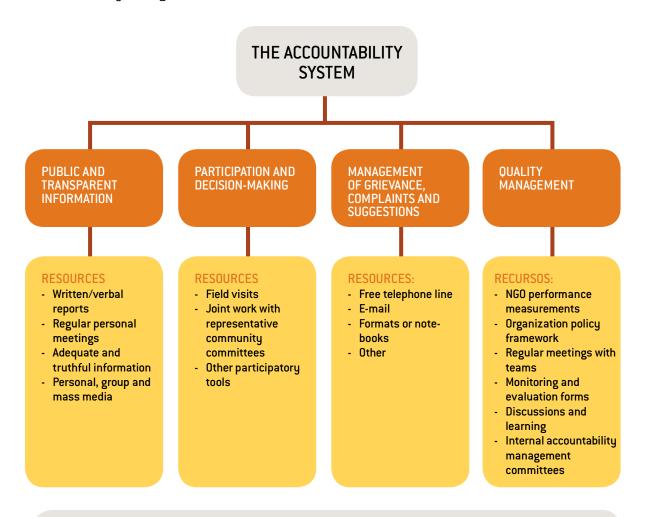
An NGO team must	The community should know that
 Involve the community in all the phases of the intervention or project Ascertain or identify the characteristics of the people it is going to work with 	 They are entitled to be involved from the start to the finish of any project being run with them. They can provide the NGO teams with key information about what is
 Find out what changes the community needs 	 happening in the daily project work. They must be consulted by the NGO people about the changes they need
 Provide the process with follow-up and feedback Use the feedback to improve the 	or want to see and so can work together to those ends. They are entitled to monitor the
project impact	implementation and impact of the project and not be afraid to make complaints or recommendations.

CARE Peru has held a number of pilot projects and is validating a system that serves as a reference point to enable us to put in practice what is described above.

This is not a rigid system. Nevertheless, the aim is to approach an inclusive and participatory conceptual and methodological model, through which various stakeholders can in one way or another say what they think and influence the process in our various projects.

The idea is to organize accountability in a system which facilitates its development. Four components have been identified for doing this:

- i. Public and transparent information
- ii. Participation and decision-making
- iii. Management of grievance, complaints and suggestions
- iv. Quality management



Teams can recreate these components, adapting them to the social and cultural setting where they work.

The participant community should play an active part in this exercise.

The meaning and development of each component

COMPONENT NO.1 PUBLIC AND TRANSPARENT INFORMATION

Staying in constant contact with key players means facilitating access to information and ensuring constant dialogue. This helps to build better relations of trust and respect, and a reciprocal and transparent process of accountability.



Whenever we go to a community and work in it, we should consider the following:

- Providing general information about the organization
 - Who are we?
 - What are our objectives?
 - Why are we here?
 - Where does our funding come from?
- Giving details about the project in course
 - What area does the project cover?
 - Why has it been decided to implement this project?
 - What is the work plan?
 - How long will it take?
 - Who are the community participants?
 - What are the criteria for selecting the participants?
 - How will the project work?
 - How will the population participate and what will it contribute?
 - What is the total amount involved and how is it divided up by budget headings, phases, products, results and periods?
 - Who are the contact people responsible for the project?

Note: If there are civil society or local government partners they should introduce themselves and state their role, the levels of their intervention and their commitments in the project.

- Discussing the process of the project by giving out information covering the following aspects:
 - Regular reports on the project results
 - Regular financial reports
 - Reports on significant amendments to the project

MAIN IDEA

The information we provide should enable the key participants to take part, take informed decisions and ask us to give an account of our responsibilities. This way, transparency is more than a flow of facts in one direction; it is a permanent dialogue between an organization and its key players on the basis of the information that we provide and that others request.

COMPONENT NO.2: PARTICIPATION AND DECISION-MAKING

Through participation, an organization allows key stakeholders to play an active part in taking the decisions which affect them. It is not simple to expect that an organization involve key players in decisions the whole time. But it is paramount that they do, if power relations are to be changed.



KEY QUESTION

HOW CAN KEY STAKEHOLDERS PARTICIPATE IN OUR INTERVENTION FROM START TO FINISH?

Through upholding the following:

- The work schedule must be drafted with the community well in advance.
- Meetings must be consultations, not simply for giving the community reports. They should be shared, in other words, held in the NGO offices and in the community itself.
- The NGO staff must make regular field visits to find out about the local community's needs and how they are meeting them.

There must be channels to guarantee that the population has a say, through using tools with a participatory approach. An example might be the formation of groups or watchdog committees which represent the community and accompany and watch the intervention and give us feedback when needed.

ACTIVITIES OF A WATCHDOG COMMITTEE

- Drafting a work plan
- Formulating simple tools for compiling information
- Meetings to present these to the community
- Field visits for gathering information
- Reports (preferably quarterly or six-monthly) with recommendations or suggestion
- Regular meetings between the committee and the NGO team, to report to each other the progress made, any alterations and problems solved.
- Reviews of the watchdog committee reports to incorporate all the recommendations possible into the work.
- Permanent communication with the community about the work

MAIN IDEA

- To encourage stakeholders to get involved in all the phases of our intervention: 1) design 2) implementation 3) monitoring and final evaluation
- To help strengthen local capacities and empower local people

COMPONENT NO. 3

MANAGEMENT OF GRIEVANCE, COMPLAINTS AND SUGGESTIONS

The feedback we receive from our key stakeholders is important because it enables us to understand and corroborate if we are achieving the changes necessary through in intervention. It is a way to identify with the community.

Feedback can be positive or negative, but grievances can point to something which is going wrong. The population needs to have a safe and reliable channel for presenting grievances and reports and receiving a guaranteed and timely response. These channels must be varied and culturally appropriate.



KEY QUESTIONS

WHAT CAN BE DONE IF AN ASPECT OF THE PROJECT IS FAILING?

HOW CAN THE COMMUNITY'S OBSERVATIONS, GRIEVANCES AND SUGGESTIONS BE INCORPORATED?

HOW CAN A TIMELY RESPONSE BE ENSURED?

By promoting the following:

- Using a notebook to record the community's grievances, suggestions and opinions.
- Making a toll-free telephone line available to the community. This requires having someone trained to receive and re-direct the grievances, complaints or suggestions to the NGO team, which must resolve them fast, ensuring that the person concerned is satisfied with the solution. It is important to keep a systematic record of all points raised (see Annex 2).
- Using registers on field visits, for organization staff to take note of all the community's comments on the visit.
- Promoting focus groups or regular meetings in the community to hear their insights, concerns and other comments about our intervention.
- Other resources that our teams identify and which correspond to the characteristics and expectations of the various socio-cultural settings of the work.

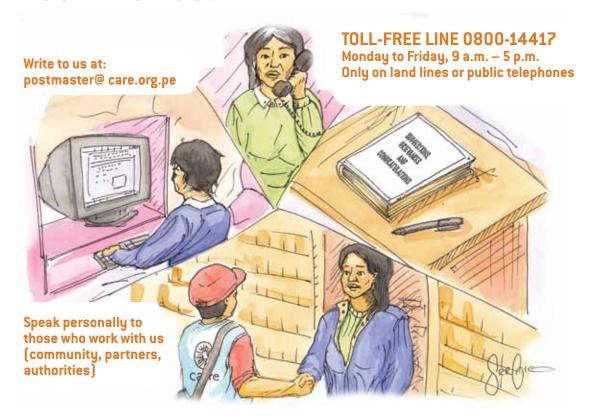
MAIN IDEAS

The organization must ensure a formal system and trained staff for recording, monitoring and responding to positive or negative feedback. This system must ensure a procedure for dealing with serious grievances, such as sexual abuse, fraud or other reports of a sensitive nature.

All complaints are equally valid, whether they are made personally or anonymously. They help us to take stock of our work. If we establish a reliable system, there will be fewer anonymous complaints.

The process for solving a grievance or complaint must guarantee a direct dialogue with the person concerned in order to reach a mutually acceptable solution. If the person is not satisfied with the solution, s/he may present the grievance using the available means.

HELP US TO WORK BETTER – CONTACT US!



COMPONENT NO.4 QUALITY MANAGEMENT

Understanding the way in which an organization learns and constantly evaluates its progress.



This is only possible in the following way:

- If we guarantee that our key stakeholders are informed, participate and provide feedback in our work and identify our goals and objectives with them, including them in the monitoring, implementation and outcomes. This should all enable us to change and improve each project and impact on the organization.
- If we use various means for appreciating the relevance of each project from the start, from prior analysis and design to the implementation, monitoring and final evaluation.
- If we identify mechanisms for evaluating our performance and institutional learning.

Promoting the following:

- Tools for evaluating organizational development and learning, with staff contributions, and the information is systematized each year, like the tools of the organizational performance and learning (OPL) system. This would reflect progress made throughout, and would include accountability.
- There are other useful means which are generally employed for monitoring and evaluating.
 These indicate progress, obstacles, issues pending in the understanding and practice of institutional values, programmatic principles and individual performance evaluation.
- Qualitative meetings can be held to talk to teams about how our practice reflects our vision and mission and how this impacts on the quality of our management.

MAIN IDEAS

The organization must have mechanisms for examining and reporting on its work, outcomes and impact, to ascertain how each project has operated and what difference it has made to people's lives.

Monitoring and evaluation results must be used to make changes whenever necessary.

The organization must hold internal and external evaluations, reviews and learning exercises to help improve its practices, policies, learning, quality and accountability. This must be done in the projects, the programs, between offices and as institutional management.





Monitoring and evaluation

How can we measure progress in accountability?

Monitoring is a tool used in social project management. It is designed to provide continuous information, to verify the implementation of activities and the use of resources, in compliance with goals and the timeframe established in the operational plan. It is also known as activities follow-up, that provides continuous information about progress in interventions.

It has a further characteristic, which is that the information obtained provides constant feedback that can be used to take corrective measures to improve the efficacy and efficiency of activities in terms of the objectives proposed.

THE USE OF INDICATORS IN ACCOUNTABILITY

Indicators are an excellent means for accountability because they give explicit information regarding progress in each intervention. They are an opportunity for discussions and feedback with the community and to agree corrective measures for improving activities.

WHY IS IT IMPORTANT TO HAVE A MONITORING AND EVALUATION SYSTEM?

Because it allows us to:

- Compile and consolidate the information produced by stakeholders in the various stages of implementation of the accountability system
- Produce information to guarantee that the activities planned are implemented
- Give timely feedback to stakeholders in the implementation of the accountability system about what has been done and what has been learned
- Provide tools for taking corrective decisions on bottlenecks at different levels of implementation, so that they can be taken properly and in good time

Below we offer some indicators per component:

Component A: Public and transparent information

- Number of project presentation meetings
- Frequency of progress analysis meetings per intervention zone and over a particular period
- Frequency of meetings for analyzing progress and returning information to the population

Component B: Participation, Decision-making

- Number of watchdog committee reports
- Number of meetings between the watchdog committee and the NGO team
- Percentage of watchdog committee recommendations included in management or rejected with express justification
- Number of public meetings the watchdog committee arranges with community to report information

Component C: Management of grievance, complaints and suggestions

- Number of grievances received overall
- Percentage of grievances which received response within 7 days
- Percentage of grievances resolved within 21 days
- Number of suggestions received overall
- Percentage of suggestions incorporated into project management in final period
- Number of internal reports

Component D: Quality management

- Percentage of permanent and contract staff who have been trained in accountability
- Number of meetings to analyze accountability in teams and per particular period
- Institutional accountability policy approved, plus other related tools

SOME EXAMPLES OF IMPACT INDICATORS

- Percentage of community satisfaction through specific accountability meetings
- Percentage of people attending accountability meetings which show that the community has been able to participate in project decision-making
- Percentage of watchdog committee members satisfied with work
- Percentage of people satisfied with the resolution of the grievance or the incorporation of suggestions three months after it was presented
- Percentage of team members that feels that accountability is important to their work



Tangible experiences in Care Peru

Below we present some projects which incorporate accountability in their daily work. They give tangible examples and reflect that these relevant practices can be conducive to a positive impact on the population and the organization.

HUANCAVELICA RECONSTRUCTION PROJECT (HRP)

OBJECTIVE

INTERVENTION AMBIT

To support 2000 families in Huancavelica who were affected by the earthquake, in reconstructing and repairing the social and productive infrastructure and their homes.

The river valleys of Castrovirreyna, San Juan and Huaytara

Funded by CIDA 2008-2010

COMPONENT NO. 1 PUBLIC INFORMATION	COMPONENT NO. 2 PARTICPATION AND DECISION- MAKING	COMPONENT NO. 3 MANAGEMENT OF GRIEVANCE, COMPLAINTS AND SUGGESTIONS	COMPONENT NO. 4 QUALITY MANAGEMENT
- For information, a card with information about the project was used, together with other dissemination materials - The information describes the financial and programmatic aspects of the project - To guarantee that stakeholders are heard and addressed directly, there are liaison offices where they can go, regular meetings are held in the community and staff have forms to use in field visits	- Five watchdog committees have been set up for the project to ensure authentic participation and decision-making. These committees have been given training in surveillance and their job is to supervise project implementation. - They are composed of community stakeholders who are on the watchdog committee for the local government participatory budget and other players who participate in the CARE Peru project - They are given advice and technical assistance by CARE staff, they have drafted the 2010 work plan, which defines the roles and responsibilities of each - They are autonomous and can convey their opinions and reports to CARE. The information must be used to improve the course of the intervention and its medium-term impact	Resources used: - toll-free line 0800-14417 - Notebooks for registers in liaison offices for people to use themselves - Field visit forms used by staff to receive information from the community Procedure: - a grievance, complaint or suggestion is dealt with directly with those in charge of the zone concerned and the project coordinating committee - A brief report is issued when this has been resolved and an internal management format is registered, which is sent to head office every quarter	Team discussion and analysis of the indicators we should consider to guide our activities using Care Peru's organizational performance and learning system (OPL) Team analysis of humanitarian aid and reconstruction actions and their link with other CARE programmatic principles

ADAPTATION TO THE IMPACT OF THE RAPID GLACIER RETREAT IN THE TROPICAL ANDES (PRAA)

OBJECTIVE

To build capacity to adapt to climate change in areas connected to the Salkantay and Sacsara snow peaks.

There are three projects for the 2009-2012 period

- World Bank
- Santa Teresa Municipality

- CIDA
- Scotiabank
- The New York Women's Initiative Fund
- CARE UK

AMBIT OF INTERVENTION

Santa Teresa district, La Convencion province, Cusco region

COMPONENT NO.1 PUBLIC INFORMATION	PARTICIPATION AND MAN DECISION-MAKING GRIE		IMPONENT NO.3 ANAGEMENT OF RIEVANCE, COMPLAINTS ID SUGGESTIONS		COMPONENT NO.4 QUALITY MANAGEMENT	
Information: - CARE Peru institutional presentation - CARE and Climate Change: shrinking glaciers in the Andes - Circulating information about projects (PRAA, CIDA, Scotia, NYWI) - Validation of project ambits - Circulation and approval of work plan to formulate Participatory Implementation Plan (PIP)	Work with cooperation agreements - Setting up project manageme committee with representative of donors, local government, institutional officials and beneficiary representatives - Stakeholder mapping (community and institutions) - Setting up committees to formulate the PIP in each microriver valley - Participation agreements and technical assistance with households and community - Community assemblies in earmicro river valley to implement activities - Meetings with households an participants in specific activitic.	es O C t t	- Initial publicity about the toll-free line 0800 14417 among the project particip population - Meetings with communit authorities, leaders, mayo and members of municipa technical team (whoever appropriate). These are an opportunity to hear what tommunity insights about the project	y r I	Consultants hired by the project will be given an induction workshop to encourage the team to discuss the issues It is important that all of us handle the same information on agreements and decisions taken and use the same language when speaking to the community. This avoids confusion and makes the CARE team relations stronger - It is fundamental to evaluate our work in the light of the organization's guiding documents, and the instruments we use to monitor and evaluate learning	

ALLI ALLPA AND ALLI MAMA

OBJECTIVE

Obstetrics and neonatal emergencies project "Alli mama, Alli wawa"

To contribute to the reduction of maternal and neonatal mortality and morbidity.

- Productive chain program

"Alli Allpa" 1990 poor households in the intervention ambit increase their income and create jobs as a result of managing improved technology in their crop and stock farming activities.

- Alli Allpa Funded by the Antamina Mining Fund 2007-2009 Extended to 2012
- Alli Mama Alli Wawa Funded by the Antamina Mining Fund 2009-2010

INTERVENTION AMBIT

Ancash department

COMPONENT NO.1 PUBLIC INFORMATION	UBLIC INFORMATION PARTICIPATION AND DECISION-MAKING		MPONENT NO.3 NAGEMENT OF EVANCE, COMPLAINTS D SUGGESTIONS		COMPONENTE N° 4 QUALITY MANAGEMENT		
Communications plan for implementing system Web page to access information on projects in course Public events for launching the accountability system Dissemination of system over radio (pilot and regional expansion) Delivering project reports to direct allies Press conference to announce our activities Answering queries and requests for information For participants: Information for organizations (assemblies, training events) and individuals (visits)	Setting up and strengthening the watchdog committee choosing members on basis of their credibility and history Submitting supervision reports. Work plan for implementing watchdog committee suggestion. Circulating two reports drafted the office committee. Assemblies, training events an individual visits. Surveys carried out by the watchdog committee of econor development and neonatal emergency projects. Interviews with key players on the implementation of these projects.	by d	Using the toll-free line – 0800 14417 (in Spanish a Quechua) Reception of grievances at suggestions via email Reception of cases in region office (in writing or in personal	nd onal on) a rms	Evaluating degree of compliance with policies, code of ethics, principles, values and OPL tools Induction for technical suppliers and project consultants at regional office Analysis of compliance with project objectives Evaluation and feedback meetings with staff, technical assistance suppliers and consultants		

RISK MANAGEMENT AND EMERGENCIES

OBJECTIVE

To provide humanitarian aid to the victims of the earthquake of August 15, 2007 in the south of Peru, whose homes were destroyed or damaged

Funded by various donors for various projects during the emergency in 2007

INTERVENTION AMBIT

Lima (Canete), Ica (Chincha) and Huancavelica

COMPONENT NO. 1 PUBLIC INFORMATION	COMPONENT NO.2 PARTICIPATION AND DECISION-MAKING	COMPONENT NO.3 MANAGEMENT OF GRIEVANCE, COMPLAINTS AND SUGGESTIONS	COMPONENT NO. 4 QUALITY MANAGEMENT		
The team is taught about humanitarian principles and accountability. Key types of information are presented, with opportunities and tools used in the emergency. The summary of Sphere standards was distributed. Sphere was used for advocacy with donors.	The project worked with the community's existing structure. Vulnerable groups were consult and asked for their feedback. The results were used to take decisions and make changes in our intervention.	ted The 0800 14417 line was launched and a communications campaign carried out.	teams.		

RIGHTS, CULTURAL IDENTITY AND THE PARTICIPATION OF THE AMAZON INDIGENOUS PEOPLES: THE AWAJUN PEOPLE

OBJECTIVE

To promote compliance with international commitments to the rights of the indigenous peoples of Peru and particularly the rights of the Awajun people

Funded by the European Commission 2007-2010

INTERVENTION AMBIT

Amazonas: Bagua and Condorcanqui, San Martin: Moyobamba and Rioja

COMPONENT NO.1 PUBLIC INFORMATION	COMPONENT NO.2 PARTICIPATION AND DECISION-MAKING	MAI GRI	MPONENT NO.3 NAGEMENT OF EVANCE, COMPLAINTS O SUGGESTION		MPONENT NO. 4 ALITY MANAGEMENT
Dissemination of the content of the international agreements and indigenous peoples' problems. At the start of the intervention, the project reached consensus, commitments and established responsibilities with the partners. The project developed a spirit of trust and sincerity with our partners and using all the project information defined a working agenda.	Real participation was ensured by: partners' participation in all project phases: planning, implementation and evaluation. Alliances were established on the basis of the trust and transparency facilitated by accountability. The Awajun people participated directly, as facilitators and on conference panels in the traini events. The project found mechanisms informing the leaders about the project budget and expenditure. The partners took part in the machine project events. Regular meetings were held with leaders of the federations, community Apus, Awajun wom leaders and professional people. In centralized events, each Awajun federation sent its delegates.	ng for ee eeain	No formal system was formulated for channeling and resolving grievances, suggestions and complain	ts.	Quality management values the following aspects: team ownership of CARE principles and accountability. The internal political and technical will within the team to facilitate accountability as an intercultural management tool and as a useful and necessary methodology.

PROGRAMS FUNDED BY THE GLOBAL FUND TO FIGHT AIDS, TB AND MALARIA

OBJECTIVE

CARE is the Global Fund's principal recipient in Peru for HIV/AIDS and TB and channels the resources to prevent and treat these diseases which claim millions of lives.

Funded by the World Fund 2003 to date

INTERVENTION AMBIT

Nationwide

COMPONENT NO.1 PUBLIC INFORMATION	COMPONENT NO.2 PARTICIPATION AND DECISION- MAKING	COMPONENT NO. 3 MANAGEMENT OF GRIEVANCE, COMPLAINTS AND SUGGESTIONS	COMPONENT NO. 4 QUALITY MANAGEMENT
Printed and website information disseminated: - activities per geographical ambit - and program activities - Activities calendar with manual - Goods and products procurement process - Tenders - Financial and program information per period - Newsletter - Regular information meetings with transparency and accountability called "See to trust"	The monitoring and evaluation plan for the Global Fund programs includes the quarterly feedback meetings from the start. The purpose is to share information about program management indicating achievements and identifying bottlenecks. Regular meetings held for coordination and taking decisions - decentralized, combined or independent and per component with internal players: National and Regional Country Coordination Mechanisms (CONAMUSA and COREMUSAS) Technical partners Sub-recipients Management unit of CARE Peru Global Fund programs Local Fund Agent (LFA - PriceWaterhouseCoopers). Meetings with external stakeholders, like the communities, cooperation agencies, local and regional governments, civil society organizations and general public	The Community Advisory Committee is in charge of liaison between CARE and the communities of people with HIV, LGBT and SW. It also assists the communities in improving their participation in the implementation of Global Fund programs. In the event of a complaint, the committee confirms and refers it to the relevant person.	Discussions about the process and management: Encouraging subrecipients to adopt good practices as well Building trust with key stakeholders: CONAMUSA, Global Fund, LFA, SR, national partners etc. Results of program and financial audits which show overall performance (main and sub-recipients) as gradually more efficient with fewer weaknesses Helping to strengthen other institutional policies

CARE PERU STAFF COMMENTS ON PROCESSES

- With greater transparency, there is more demand for information. It is important therefore to identify and define our limits.
- The more information you give a community, the more commitment you get.
- Accountability makes the difference and the commitment of the leaders is fundamental.
- Accountability is not just a system of complaints and demands. That is an important component, but it is not the only one.
- We must reach the point where accountability is an integral part of management systems, including emergency response.
- Being accountable means strengthening internal capacity, which in turn means we can promote it outside the organization.
- Getting organized to do this means: 1) analyzing more carefully what we do and say; 2) putting a permanent decision-making process into practice; 3) giving enough time to resolve difficulties and give people an answer fast; 4) always keeping information in order and up to date; 5) guiding some actions or decisions in the interventions and 6) discussing the meaning of this program principle as part of our work
- Accountability can be adopted and adapted by partners, allies and other stakeholders or organizations



ANNEXES

Annex 1 Legislation on accountability for government departments

Annex 2 Forms for registering grievances, complaints and suggestions

Annex 3 Example of grievance resolution

Annex 4 Information an NGO should circulate to the general public

ANNEX 1: LEGISLATION ON ACCOUNTABILITY FOR GOVERNMENT DEPARTMENTS

The Constitution: (Article 2, Clause 17)

All people are entitled to "participate, individually or in association, in the country's political, economic, social and cultural life".

Decentralization Act (No. 27783)

Article 17. - Citizen's participation. Regional and local government is obliged to promote citizens' participation in the formulation, debate and agreement of the Consensus Development Budget and budgets and in public administration.

They must guarantee citizens' access to public information, with the exceptions stipulated in law, and create and operate mechanisms for consultation, consensus-building, audits, evaluation and accountability.

Regional government Act (No. 27867)

Article 8. - Guiding principles of regional policies and management

Participation. - Regional governments will develop and use specific entities and strategies for citizens' participation in the phases of formulation, monitoring, auditing and evaluation of government administration and of the implementation of regional plans, budgets and projects.

Municipalities Act (No. 27972)

Article IX: Local planning

Local planning is comprehensive, permanent and participatory and links municipalities to their neighbors. The process establishes local public policy, bearing in mind the provincial and district municipalities' specific, exclusive and shared functions.

The principle of the planning system is citizens' participation, through neighbors and neighbors' organizations, transparency, modern management and accountability, inclusion, efficiency, equality, impartiality, neutrality, hierarchy, coherency with national policies, the specialization of functions, competitiveness and integration.

Participatory Budget Act (No. 28056)

The Act stipulates that public resources must be used transparently and ensures the participation of civil society in programming the budget.

Chapter 2. - Participatory programming

Article 5. Civil society takes an active part in the process of the participatory planning of regional and local government budgets.

Article 6. The participatory process phases involves: 1) Identifying agents. 2) Training participant agents. 3) Holding workshops. 4) Technical evaluation of priorities. 5) Making formal agreements. 6) Accountability. 7) Other matters agreed by the participating entity.

Chapter IV. - Participatory oversight mechanisms

Article 11. Accountability, regional and local government authorities are obliged to give an account regularly of the participatory budget, progress in agreements and the achievements of participatory programming and their entire budget.

Transparency and Access to Information for Public Bodies Act (No. 27806)

The law stipulates that public bodies, represented by their highest authority, are obliged to identify the person in charge of providing information to anyone who requests it, without explanation or payment.

ANNEX 2:

2.1 GRIEVANCE AND SUGGESTIONS SYSTEM FOR ACCOUNTABILITY AND TRANSPARENCY

System for Accountability

- 1.- Department office:
- 2.- Month:
- 3.- Region director:
- 4.- Accountability officer:

1

CODE	PROJECT		DESCRIPT	ION OF SIT	UATION:		DATE	STAFF MEMBER
		REQUEST FOR INFOR- MATION	REQUESTS RELATED TO INTERVENTION	GRIEVANCE AND/OR COMPLAINT	CONGRATU- LATIONS AND/OR THANKS	SUGGESTIONS		WHO REGISTERED THE GRIEVANCE OR REQUEST:
							·	

2

PET	PETITIONER: RESIDENT OF:			MEANS OF REGISTERING CASE:						
NAMES AND LAST NAMES	SEX	OCCUPATION	PROVINCE	DISTRICT	COMMUNITY	REGISTER	0800 PHONE LINE	FIELD USE FORM	EMAIL	OTHER

3

TYPE 0	F GRIEVANCE	OR REQ	UEST:	STATUS	OF GRIE	/ANCE:	DESCRIPTION OF STATUS
TECHNICAL MATTERS	ADMINISTRATIVE PROCEDURES	QUALITY OF STAFF CONDUCT	OTHER (PLEASE SPECIFY)	UNDER INVESTIGATION	RESOLVED	UNRESOLVED	OF GRIEVANCE:

4

TIME TAKEN TO RESOLVE CASE:		STAFF MEMBER RESPONSIBLE FOR	PETITIONER SATISFIED WITH SOLUTION:		
UNDER 7DAYS	7 DAYS	OVER 7 DAYS	FOLLOW-UP:	YES	NO

2.2 FIELD RECORD

Accountability system Grievance, complaint, suggestion and thanks component

	Date:	Time:
General information: Names and last names Identity card No. Community District Job title/Occupation		Sex: M() F()
() Request for information () Request related to intervention () Grievance and/or complaint () Congratulations and/or thanks () Suggestion Reason/description of situation: :		
Immediate actions taken (for grievance	s, complaints or suggestions):	
Signature/fingerprint of petitioner or party concerned	Responsible for regis Care – Peru	 ster

ANNEX 3 EXAMPLE OF GRIEVANCE RESOLUTION

Reconstruction project

Huancavelica regional office

Component of accountability system: Grievance, complaint and suggestion management

Resource: Free phone line 0800 14417

Who made call: Beltran Solano Maldonado

Occupation: Chair of Pillpichaca watchdog committee

Zone: Pillpichaca – Huancavelica

Reception:

Received by Hector Leon, responsible for answering the toll-free line in the Lima office

Complaint

A number of the houses being built in his jurisdiction are deteriorating very soon, particularly the finishes and you can even see the netting through the plaster.

Response

Having received this information we contacted the corresponding team and the regional office coordinator, Bibiano Huamancayo, called a meeting immediately with the mayor of the district municipality, two members of the watchdog committee, including Mr. Beltran, nine people working in the reconstruction process in the village and two CARE representatives (the coordinator and the person responsible for infrastructure).

The following was agreed: 1) Small cracks could be seen because there was not enough sand. These will be repaired immediately. 2) The mayor agreed to provide transport for the fine sand. 3) The community would be consulted to make a timetable for reaching all the beneficiaries equally.

To follow-up and inspect the finishing directly, a visit was scheduled to the area of Pacococha and Castrovirreyna, as this is new technology validated by the Peruvian Catholic University. The watchdog committee will also help receive construction materials and verify the quality in compliance with the agreement for requirements and quantity.

Request status: immediately resolved.

ANNEX 4 INFORMATION AN NGO SHOULD DISSEMINATE TO THE GENERAL PUBLIC

- Foundations: vision, mission, values, principles, goals, objectives, strategic lines of action, legal registration, postal address and other contact information
- Organizational structure and officials: organization chart, key decision-making processes, board of directors, directors' teams, consultants, members plus brief biography, positions and responsibilities at all levels, press contact
- Institutional policies: organization policies, code of conduct, program policies, guarantees, fund-raising, human resources and administration
- Work plans: organization's strategic plan, organization's annual operating plan
- Performance: reporting results, impacts, learning and innovation
- Funds and finance
 - Total administrative expenditure through identifying the main budget entries and the annual overhead
 - Expenditure per program area and its projects nationwide
 - Total donations received, identifying donors and amounts corresponding to the intervention areas.
- Staff: number of staff, identified by gender, ethnic group, origin and language (in accordance with the social equity policy)
- Relations: the key stakeholders in the work communities, partners, networks, coalitions, alliances, governments, donors and other forums in which we participate
- Institutional positions: position regarding some issues in harmony with the mission, objectives and strategies, particularly those related to our advocacy

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Social trust is a fine thread which unites entities with society. This social trust is very hard to win and paradoxically, very easy to lose.

LAIA GRABULOSA AND PAU VIDAL

